

IFW

Reference No. TPIP024

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nathan Kane et al. )  
)  
,Appl. No. : 10/700,146 )  
)  
Filed : November 3, 2003 )  
)  
For : METHODS OF )  
MANIPULATING SMALL AMOUNTS OF )  
SOLIDS

08/03/2004 HALI11 00000068 502626 10700146  
01 FC:1460 130.00 DA

CERTIFICATE OF FIRST CLASS MAIL

I hereby certify that this correspondence is being deposited  
with the United States Postal Service via First Class mail to:  
Assistant Commissioner for Patents, Washington, DC 20231  
on July 29, 2004.  
Signed: Jacqueline M. Vo  
Jacquie M. Vo

AMENDMENT, PETITION, AND FEE TO ADD NAME(S) OF OMITTED INVENTOR(S)  
TO PROVISIONAL APPLICATION UNDER 37 C.F.R. § 1.48(a)

Assistance Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

This amendment and petition under 37 C.F.R. § 1.48(a) is to add the following name(s) as  
inventor(s) to the above-identified application:

Wendy Pryce-Lewis  
100 Pleasant Street  
Lexington, MA 02421

Hongming Chen  
8 Sawmill Road  
Acton, MA 01720

The error in omitting the inventor(s) hereby petitioned to be added occurred by error, without deceptive intent on the part of the actual inventor(s). This statement is made by the attorney signing below.

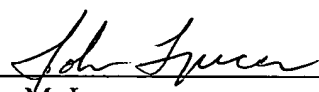
A new declaration by signed by each inventors as required by 37 C.F.R. §1.48 (a) (3) is enclosed.

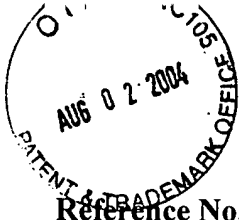
Petition Fee

The petition fee for correction of inventorship under 37 C.F.R. § 1.48(a)(4) as set forth in 37 C.F.R. § 1.17(i) is \$130.00. The Commissioner is hereby authorized to charge the required fee to Deposit Account No. 50-2626.

Respectfully submitted,

Dated: 7/27

By:   
John M. Lucas  
Registration No. 43,373  
Transform Pharmaceuticals, Inc.  
29 Hartwell Avenue  
Lexington, MA 02421



Reference No. TPIP024

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nathan Kane et al. )  
 )  
Appl. No. : 10/700,146 )  
 )  
Filed : April 12, 2004 )  
 )  
For : METHODS OF )  
MANIPULATING SMALL AMOUNTS OF )  
SOLIDS )

---

MS: Petition  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

COMMUNICATION UNDER C.F.R. § 1.48(a)

Sir:

Attached herewith are the following documents:

- 1) Petition under 37 CFR §1.48(a);
- 2) Newly executed declaration and Power of Attorney signed by all inventors;
- 3) Statement under 37 CFR §1.48 (a)(2) submitted by added inventors Wendy Pryce Lewis and Hongming Chen;
- 4) Consent and Certification under 37 CFR §3.73(b);
- 5) Courtesy copy of recorded assignments for the Examiner's convenience.

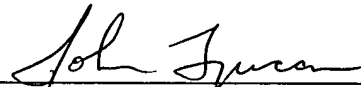
Appl. No. : 10/700,146  
Filed : April 12, 2004

The Commissioner is hereby authorized to charge any fees that may be required by this paper to Deposit Account No. 50-2626 (order no. TPIP024).

Respectfully submitted,

TRANSFORM PHARMACEUTICALS, INC.

Date: 7/27, 2004

  
\_\_\_\_\_  
John M. Lucas  
Reg. No. 43,373

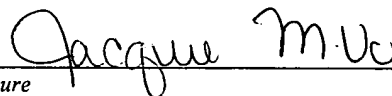
29 Hartwell Avenue  
Lexington, MA 02421

Telephone: (781) 674-7816  
Facsimile: (781) 863-8914

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, PO Box 1450, Alexandria, VA 22313, on July 29, 2004.

Jacquie M. Vo  
*Typed or Printed Name*

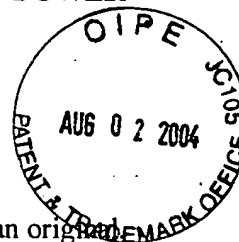
  
\_\_\_\_\_  
*Signature*

**DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION AND POWER  
OF ATTORNEY.**

As a below named inventor, I hereby declare that:

My residence, post office and citizenship are as stated below beneath my name.

I believe I am the original, first and sole inventor if only one name is listed below or an original first and joint inventor if plural names are listed below, of the subject matter which is claimed and for which a patent is sought on the invention entitled:



**METHODS OF MANIPULATING SMALL AMOUNTS OF SOLIDS**

And for which a patent application:

( ) is attached hereto and includes amendment(s) filed on  
(X) was filed in the United States on November 3, 2003 as Application No. 10/700,146  
( ) was filed as PCT International Application No. \_\_\_\_\_ on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 (a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Earliest Foreign Application(s), if any, Filed Prior to the Filing Date of the Application

_____ Application No.	_____ Country	_____ Date of Filing	_____ Priority claim (Y or N)
_____ Application No.	_____ Country	_____ Date of Filing	_____ Priority claim (Y or N)
_____ Application No.	_____ Country	_____ Date of Filing	_____ Priority claim (Y or N)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States Provisional Application listed below.

<u>60/423,377</u> Provisional Appln No.	<u>November 4, 2002</u> Filing Date
<u>60/424,001</u> Provisional Appln No.	<u>November 6, 2002</u> Filing Date
<u>60/430,089</u> Provisional Appln No.	<u>December 2, 2002</u> Filing Date

Attorney Docket No.: TPIP024

60/449,554  
Provisional Appln No.

February 24, 2003  
Filing Date

60/450,285  
Provisional Appln No.

February 27, 2003  
Filing Date

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application No.</u>	<u>Filing Date</u>	<u>Status</u>
------------------------	--------------------	---------------

<u>Application No.</u>	<u>Filing Date</u>	<u>Status</u>
------------------------	--------------------	---------------

<u>Application No.</u>	<u>Filing Date</u>	<u>Status</u>
------------------------	--------------------	---------------

**Power of Attorney:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

John M. Lucas, Reg. No. 43,373; Paul D. Burgess, Reg. No. 53,852; Christopher Olson, Reg. No. 55,510; Kevin McGough, Reg. No. 31,279; David R. Saliwanchik, Reg. No. 31,794; Jeff Lloyd, Reg. No. 35,589; Doran R. Pace, Reg. No. 38,261; Jay M. Sanders, Reg. No. 39,355; Jean Kyle, Reg. No. 36,987; James S. Parker, Reg. No. 40,119; Frank C. Eisenschenk, Reg. No. 45,332; Glenn P. Ladwig, Reg. No. 46,853; Margaret Efron, Reg. No. 47,545; Gwendolyn L. Daniels, Reg. No. 51,594; John M. Sanders, Reg. No. 30,126

Send correspondence to:

Customer No. 34,846  
Transform Pharmaceuticals, Inc.  
29 Hartwell Avenue  
Lexington, MA 02421

Direct telephone calls to:

John M. Lucas 781-674-7852

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Name of

First/Sole Inventor: Nathan Kane

Residence (City, State): Arlington, MA

Citizenship: US

Post Office

Address: 52 Marathon Street, Arlington, MA 02474

Signature: Nathan Kane

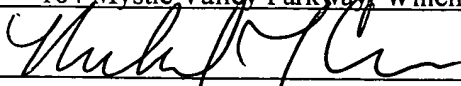
Date: 6/2/2004

Attorney Docket No.: TP1P024

Name of  
Second/Joint Inventor: Michael Cima

Residence (City, State): Winchester, MA      Citizenship: US

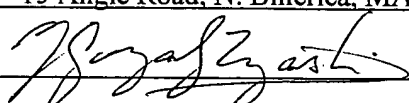
Post Office  
Address: 184 Mystic Valley Parkway, Winchester, MA 01890

Signature:       Date: 6/3/04

Name of  
Third/Joint Inventor: Javier Gonzalez-Zugasti

Residence (City, State): N. Billerica, MA      Citizenship: Argentina

Post Office  
Address: 15 Angie Road, N. Billerica, MA 01862-1321

Signature:       Date: 6/2/04

Name of  
Fourth/Joint Inventor: Jeanie Cherng

Residence (City, State): Framingham, MA      Citizenship: US

Post Office  
Address: 3 Concord Terrace, Framingham, MA 01702

Signature: \_\_\_\_\_      Date: \_\_\_\_\_

Name of  
Fifth/Joint Inventor: Anthony Lemmo

Residence (City, State): Sudbury, MA      Citizenship: US

Post Office  
Address: 3 Washington Drive, Sudbury, MA 01776

Signature: \_\_\_\_\_      Date: \_\_\_\_\_

Name of  
Sixth/Joint Inventor: J. Richard Gyory

Residence (City, State): Sudbury, MA      Citizenship: US

Post Office  
Address: 10 Curry Lane, Sudbury, MA 01776

Signature: \_\_\_\_\_      Date: \_\_\_\_\_

Attorney Docket No.: TPIP024

JUN-02-2004 WED 04:14 PM

FAX NO.

P. 04/05

Name of  
Second/Joint Inventor: Michael Cima

Residence (City, State): Winchester, MA Citizenship: US

Post Office  
Address: 184 Mystic Valley Parkway, Winchester, MA 01890

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Third/Joint Inventor: Javier Gonzalez-Zugasti

Residence (City, State): N. Billerica, MA Citizenship: Argentina

Post Office  
Address: 15 Angie Road, N. Billerica, MA 01862-1321

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Fourth/Joint Inventor: Jeanie Cherng

Residence (City, State): Framingham, MA Citizenship: US

Post Office  
Address: 3 Concord Terrace, Framingham, MA 01702

Signature: *Jeanie Cherng* Date: 6/02/04

Name of  
Fifth/Joint Inventor: Anthony Lemmo

Residence (City, State): Sudbury, MA Citizenship: US

Post Office  
Address: 3 Washington Drive, Sudbury, MA 01776

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Sixth/Joint Inventor: J. Richard Gyory

Residence (City, State): Sudbury, MA Citizenship: US

Post Office  
Address: 10 Curry Lane, Sudbury, MA 01776

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Attorney Docket No.: TP1P024



Name of  
Second/Joint Inventor: Michael Cima

Residence (City, State): Winchester, MA Citizenship: US

Post Office  
Address: 184 Mystic Valley Parkway, Winchester, MA 01890

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Third/Joint Inventor: Javier Gonzalez-Zugasti

Residence (City, State): N. Billerica, MA Citizenship: Argentina

Post Office  
Address: 15 Angie Road, N. Billerica, MA 01862-1321

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Fourth/Joint Inventor: Jeanie Cherng

Residence (City, State): Framingham, MA Citizenship: US

Post Office  
Address: 3 Concord Terrace, Framingham, MA 01702

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Fifth/Joint Inventor: Anthony Lemmo

Residence (City, State): Sudbury, MA Citizenship: US

Post Office  
Address: 3 Washington Drive, Sudbury, MA 01776

Signature:  Date: 6/03/04

Name of  
Sixth/Joint Inventor: J. Richard Gyory

Residence (City, State): Sudbury, MA Citizenship: US

Post Office  
Address: 10 Curry Lane, Sudbury, MA 01776

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Attorney Docket No.: TPIP024

Name of  
Second/Joint Inventor: Michael Cima

Residence (City, State): Winchester, MA      Citizenship: US

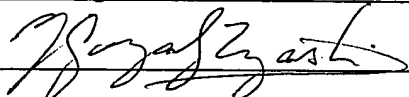
Post Office  
Address: 184 Mystic Valley Parkway, Winchester, MA 01890

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Third/Joint Inventor: Javier Gonzalez-Zugasti

Residence (City, State): N. Billerica, MA      Citizenship: Argentina

Post Office  
Address: 15 Angie Road, N. Billerica, MA 01862-1321

Signature:       Date: 6/2/04

Name of  
Fourth/Joint Inventor: Jeanie Cherng

Residence (City, State): Framingham, MA      Citizenship: US

Post Office  
Address: 3 Concord Terrace, Framingham, MA 01702

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Fifth/Joint Inventor: Anthony Lemmo

Residence (City, State): Sudbury, MA      Citizenship: US

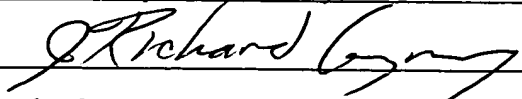
Post Office  
Address: 3 Washington Drive, Sudbury, MA 01776

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name of  
Sixth/Joint Inventor: J. Richard Gyory

Residence (City, State): Sudbury, MA      Citizenship: US

Post Office  
Address: 10 Curry Lane, Sudbury, MA 01776

Signature:       Date: 6/7/04

Attorney Docket No.: TPIP024.

Name of  
Seventh/Joint Inventor: Wendy Pryce-Lewis

Residence (City, State): Lexington, MA      Citizenship: US

Post Office  
Address: 100 Pleasant Street, Lexington, MA 02421

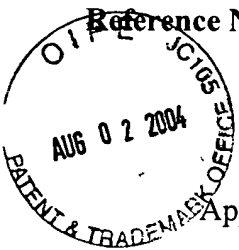
Signature: Wendy Pryce-Lewis      Date: 6/2/04

Name of  
eighth/Joint Inventor: Hongming Chen

Residence (City, State): Acton, MA      Citizenship: CN -

Post Office  
Address: 8 Sawmill Road, Acton, MA 01720

Signature: [Signature]      Date: 6/2/04



Reference No. TPIP024

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nathan Kane et al. )  
Appl. No. : 10/700,146 )  
Filed : April 12, 2004 )  
For : METHODS OF )  
MANIPULATING SMALL AMOUNTS OF )  
SOLIDS )

---

STATEMENT OF ERROR WITHOUT DECEPTIVE INTENT  
ON THE PART OF THE INVENTOR(S) OMITTED IN NONPROVISIONAL APPLICATION  
UNDER C.F.R. § 1.48(a)(1)

Identification of omitted inventor(s) to which this statement is being made:

Wendy Pryce-Lewis  
100 Pleasant Street  
Lexington, MA 02421

Hongming Chen  
8 Sawmill Road  
Acton, MA 01720

We, the persons signing below, hereby state that the error in omitting the name(s) of the inventor(s) as set forth in this petition submitted under 37 C.F.R. § 1.48(d) occurred by error, without deceptive intent.

Dated: 6/2/04

Dated: 6/2/04

By: Wendy Pryce-Lewis  
Wendy Pryce-Lewis  
By: Hongming Chen  
Hongming Chen



Reference No. TPIP024

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nathan Kane et al. )  
 )  
Appl. No. : 10/700,146 )  
 )  
Filed : November 3, 2003 )  
 )  
For : METHODS OF )  
MANIPULATING SMALL AMOUNTS OF )  
SOLIDS )

---

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Transform Pharmaceuticals, Inc. certifies that it is the owner of the entire right, title, and interest in the patent application identified above by virtue of an assignment to the Transform Pharmaceuticals, Inc. dated April 12, 2004 by assignors Nathan Kane, Anthony V. Lemmo, Jean-Pei Cherng, Michael Cima, Javier Gonzalez-Zugasti, J. Richard Gyory not yet recorded. An assignment transferring entire right, title and interest of this application to Transform Pharmaceuticals, Inc. by Wendy Pryce-Lewis and Hongming Chen is being submitted concurrently under a separate cover. (copy enclosed)


The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

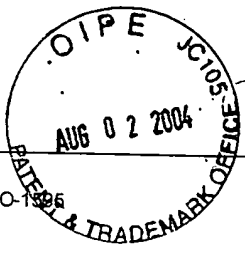
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Transform Pharmaceuticals, Inc.

By: John Lucas, Ph.D., J.D

Title: Vice President and Chief Intellectual Property Counsel

Signature:   
Date: 7/27/04



FORM PTO-1305

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)

Attorney Docket: TPIP024

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
**Nathan Kane, Anthony V. Lemmo, Jean-Pei Cherng,  
Michael Cima, Javier Gonzalez-Zugasti, J. Richard  
Gyory**

Additional name(s) of conveying party(ies) attached? Yes ☐ No ☒

3. Nature of conveyance:

☒ Assignment ☐ Merger

Execution Date(s): April 12, 2004

2. Name and address of receiving party(ies)

Name: Transform Pharmaceuticals, Inc.

Internal Address: Intellectual Property Department

Street Address: 29 Hartwell Avenue

City: Lexington State: MA ZIP: 02421

Additional name(s) & address(es) attached? Yes ☐ No ☒

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \*\*\*

A. Patent Application No.(s) 10/700,146

B. Patent No.(s)

Additional numbers attached? Yes ☐ No ☒

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: John M. Lucas

Internal Address: Transform Pharmaceuticals, Inc.

Street Address: 29 Hartwell Avenue

City: Lexington State: MA ZIP: 02421

6. Total number of applications and patents involved: 1

7. Total Fee (37 CFR 3.41) ..... \$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit Account No.

50-2626

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Paul Burgess

Name of person signing

Paul Burgess  
Signature

4/12/04  
Date

Total number of pages including cover sheet, attachments, and document: 8

## ASSIGNMENT

WHEREAS, WE, Nathan Kane residing at 52 Marathon Street, Arlington, MA 02474; Michael Cima residing at 184 Mystic Valley Parkway, Winchester, MA 01890; Javier Gonzalez-Zugasti residing at 15 Angie Road, N. Billerica, MA 01862-1321, Jeanie Cherng residing at 69 Sixth St., #3, Cambridge, MA 02141; Anthony V. Lemmo residing at 3 Washington Drive, Sudbury, MA 01776; and J. Richard Gyory residing at 10 Curry Lane, Sudbury, MA 01776, ASSIGNORS, are the inventors of the invention in **METHODS OF MANIPULATING SMALL AMOUNTS OF SOLIDS** for which we have executed an application for a Patent of the United States.

☒ which was filed on November 3, 2003 and assigned serial no. 10/700,146

☒ which is identified by docket no. TPIP024

☐ I hereby authorize and request my attorney \_\_\_\_\_ of \_\_\_\_\_ to insert here in parentheses (Application number \_\_\_\_\_, filed \_\_\_\_\_) the filing date and application number of said application when known.

and WHEREAS, TRANSFORM PHARMACEUTICALS, INC, having a place of business at 29 Hartwell Avenue, Lexington, MA 02421, ASSIGNEE is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, and facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign application, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and affixed our seals the date set forth below.

1) Inventor: Nathan Kane  
Nathan Kane

State of Massachusetts )  
County of Middlesex ) ss.:

On this 12<sup>th</sup> day of April, 2004, before me, Debra Karas Nerland Notary Public, personally appeared Nathan Kane, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Debra Karas Nerland  
Signature of Notary Public  
my commission expires 3/15/07



4) Inventor: \_\_\_\_\_  
Jeanie Cherng

State of Massachusetts )  
 ) ss.:  
County of )

On this 1<sup>st</sup> day of \_\_\_\_\_, 2004, before me, \_\_\_\_\_, Notary Public, personally appeared Jeanie Cherng, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary Public

5) Inventor: \_\_\_\_\_  
Anthony V. Lemmo

State of Massachusetts )  
 ) ss.:  
County of Middlesex )

On this 12<sup>th</sup> day of April, 2004, before me, Debra K. Larkman, Notary Public, personally appeared Anthony V. Lemmo, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Debra Carol Larkman

\_\_\_\_\_  
Signature of Notary Public

my commission expires 3/15/07

4) Inventor: Jean-Pei Cherng  
Jean-Pei Cherng

State of Massachusetts )  
County of Middlesex ) ss.:

On this 18<sup>th</sup> day of April, 2004, before me, Debra K. Larland, Notary Public, personally appeared Jean-Pei Cherng, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Debra K. Larland

Signature of Notary Public

My Commission Expires 3/15/07

5) Inventor: \_\_\_\_\_  
Anthony V. Lemmo

State of Massachusetts )  
County of \_\_\_\_\_ ) ss.:

On this \_\_\_\_\_ day of \_\_\_\_\_, 2004, before me, \_\_\_\_\_, Notary Public, personally appeared Anthony V. Lemmo, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary Public

2) Inventor:

Michael Cima

State of Massachusetts )

County of Middlesex )

ss.: )

On this 12<sup>th</sup> day of April, 2004, before me Debra K. Harland Notary Public, personally appeared Michael Cima, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Debra K. Harland  
Signature of Notary Public  
my commission expires 5/15/07

3) Inventor:

Javier Gonzalez-Zugasti

State of Massachusetts )

County of )

ss.: )

On this \_\_\_\_ day of \_\_\_\_\_, 2004, before me, \_\_\_\_\_ Notary Public, personally appeared Javier Gonzalez-Zugasti, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary Public

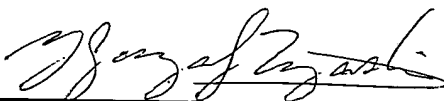
2) Inventor: \_\_\_\_\_  
Michael Cima

State of Massachusetts )  
 ) ss.:  
County of )

On this \_\_\_\_ day of \_\_\_\_\_, 2004, before me, \_\_\_\_\_, Notary Public, personally appeared Michael Cima, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

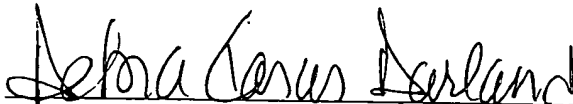
\_\_\_\_\_  
Signature of Notary Public

3) Inventor:   
Javier Gonzalez-Zugasti

State of Massachusetts )  
 ) ss.:  
County of Middlesex )

On this 12<sup>th</sup> day of April, 2004, before me, Debra K. Norland Notary Public, personally appeared Javier Gonzalez-Zugasti, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



Signature of Notary Public

my commission expires 3/15/07

6) Inventor:

J. Richard Gyory  
J. Richard Gyory

State of Massachusetts )

) ss.:

County of Middlesex )

On this 12<sup>th</sup> day of April, 2004, before me, Sabrina A. Berland Notary Public, personally appeared J. Richard Gyory, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Sabrina A. Berland

Signature of Notary Public

my commission expires 3/15/07

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

(Rev. 6-93)

## PATENTS ONLY

Patent and Trademark Office

OMB No. 0651-0011 (exp. 4/94)

Attorney Docket: TPIP024

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Wendy Pryce-Lewis and Hongming Chen

Additional name(s) of conveying party(ies) attached? Yes ☐ No ☒

## 3. Nature of conveyance:

☒ Assignment☐ Merger

Execution Date(s): June 2, 2004

## 2. Name and address of receiving party(ies)

Name: Transform Pharmaceuticals, Inc.

Internal Address: Intellectual Property Department

Street Address: 29 Hartwell Avenue

City: Lexington State: MA ZIP: 02421

Additional name(s) & address(es) attached? Yes ☐ No ☒

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \*\*\*

A. Patent Application No.(s) 10/700,146

B. Patent No.(s)

Additional numbers attached? Yes ☐ No ☒

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: John M. Lucas

Internal Address: Transform Pharmaceuticals, Inc.

Street Address: 29 Hartwell Avenue

City: Lexington State: MA ZIP: 02421

## 6. Total number of applications and patents involved: 1

## 7. Total Fee (37 CFR 3.41) \$ 40.00

☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit Account No.

50-2626

DO NOT USE THIS SPACE

## 9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John M. Lucas

Name of person signing

Signature

Date

7/27/04

Total number of pages including cover sheet, attachments, and document: 3

## ASSIGNMENT

WHEREAS, WE, Wendy Pryce-Lewis residing at 100 Pleasant Street, Lexington, MA 02421 and Hongming Chen residing at 8 Sawmill Road, Acton, MA 01720 ASSIGNORS, are the inventors of the invention in **METHODS OF MANIPULATING SMALL AMOUNTS OF SOLIDS** for which we have executed an application for a Patent of the United States.

☒ which was filed on November 3, 2003 and assigned serial no. 10/700,146

☒ which is identified by docket no. TPIP024

☐ I hereby authorize and request my attorney \_\_\_\_\_ of \_\_\_\_\_ to insert here in parentheses (Application number \_\_\_\_\_, filed \_\_\_\_\_) the filing date and application number of said application when known.

and WHEREAS, TRANSFORM PHARMACEUTICALS, INC, having a place of business at 29 Hartwell Avenue, Lexington, MA 02421, ASSIGNEE is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said

2) Inventor:   
Hongming Chen

State of Massachusetts )  
County of Middlesex ) ss.:

On this 2<sup>nd</sup> day of June, 2004, before me, Debra Karas Garland Notary Public, personally appeared Hongming Chen, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
Signature of Notary Public

my commission expires 3/15/07



ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, and facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign application, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and affixed our seals the date set forth below.

1) Inventor: Wendy Pryce-Lewis  
Wendy Pryce-Lewis

State of Massachusetts            )  
  ) ss.:  
County of Middlesex            )

On this 2<sup>nd</sup> day of June, 2004, before me, Debra Karas DeLand Notary Public, personally appeared Wendy Pryce-Lewis, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Debra Karas DeLand  
Signature of Notary Public  
my commission expires 3/15/07